

Special Category NCB Request

For DGS Use only

Special NCB #: _____

Expiration Date: _____

Delegated? If yes, # _____

For use when requesting approval for a special category NCB for information technology (IT) goods and services, non-IT goods and non-IT services pursuant to MM 02-19, Revision 3, Attachment D, paragraph 11. All approved requests will be issued a Special NCB # for a maximum annual dollar amount per calendar year. All subsequent transactions must reference both the Special NCB # and/or Delegation # as appropriate. See the Instructions for Use of Special Category NCB attached to this form. This form can be found on the DGS-PD website www.dgs.ca.gov/pd.

This justification document consists of two (2) pages plus an attachment for instructions. All information must be provided and all questions must be answered. The "Required Approvals" section must include a date for each signature, as appropriate for the transaction.

Requesting Department Information		
Agency:	Agency Secretary/Immediate Next Ranking Official: <small>(Type names. Do not sign. Must be same as signature below.)</small>	
Department:* <small>(*Includes Boards, Commissions, and Associations)</small>	Director/Immediate Next Ranking Official: <small>(Type names. Do not sign. Must be same as signature below. May be Executive Director, Chief Executive Officer, Executive Secretary, etc.)</small>	
Institution (if applicable):		
Department Contact Information		
Contact Name:	Street Address:	
Telephone: ()	Mailing Address:	
FAX: ()		
E-Mail:		
Contract Category Information		
Contract Category Name:		
Types of purchases contemplated:		
Contract/transaction dollar amount anticipated per FY:		
Number of contracts/transactions anticipated per FY:		
Contract/transaction Type: Select One: <input type="checkbox"/> Non-IT Goods <input type="checkbox"/> IT Goods <input type="checkbox"/> IT Service <input type="checkbox"/> IT Goods & Services <input type="checkbox"/> Non-IT Service		
Provide a brief description of the goods or services to be acquired:		
Required Approvals		
Department <input type="checkbox"/> Approved <input type="checkbox"/> Denied _____ Director/Date	Agency <input type="checkbox"/> Approved <input type="checkbox"/> Denied _____ Agency Secretary/Date	Dept. of General Services <input type="checkbox"/> Approved <input type="checkbox"/> Denied _____ Director or Designee/Date <div style="text-align: right;">Maximum Annual \$'s Per Calendar Year <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px auto;"></div></div>

Remit completed form to:

Procurement Division
One-Time Acquisitions
707 Third Street, 2nd Floor
West Sacramento, CA 95605

Complete responses must be provided for all of the following items.

A. WHY IS THIS CATEGORICAL EXEMPTION NECESSARY?

1. Why can't the acquisition category be competitively bid?

(Identify any time critical requirements that prevent the exercise of reasonable efforts to compete for the good or service.)

2. Provide the background of events leading to this request.

3. What are the consequences of not purchasing the good and/or service for the proposed category?

4. What market research was conducted to substantiate whether there is competition available for this category, including evaluation of whether other (substitute) items were considered?

(Provide a narrative of your efforts to identify other similar or appropriate goods/services, including a summary of how the department concluded that such alternatives are either inappropriate or unavailable OR an explanation of why the survey or effort to identify other goods/services was not performed.)

B. PRICE ANALYSIS

1. How was the price offered determined to be fair and reasonable?

(Explain what the basis was for comparison and include cost analyses as applicable.)

Instructions for Use of Special Category NCB

In accordance with MM 02-19, Revision 3, Attachment D, paragraph 11, this Special Category NCB Request form is to be used whenever a department determines that a significant number of repeat NCB's occur over a given timeframe (calendar year for example) for a category of goods or services and warrant requesting approval for that category of goods or services rather than approval of individual NCB transactions required by MM 02-19, Revision 3. This form requires approval by Agency secretary and Department Director or immediate next ranking official or for entities not reporting to an Agency Secretary, approval authority is limited to the highest two ranking executive officials.

All requests for Special Category NCB's must use this form. Use a separate form for each category type. The request must be re-approved whenever one of the signatories changes. All Special Category NCB's will have a maximum annual dollar limit and will expire one calendar year from the date of approval unless renewed by submission of a new request 30 days prior to expiration. The expiration date is stated in the box "For DGS Use only".

Departments must track all contracts/purchase orders executed at departments with approved Special Category NCB's. The tracking must at a minimum include the Special Category approval number issued by DGS, the contract/PO number, date of the transaction and the dollar amount. Departments will be asked to provide reports from their tracking system as necessary.

Any special category NCB single transaction that exceeds \$250,000.00 must be submitted to DGS-PD for approval by the Department of Finance, regardless of the category and/or the annual expenditure level. A copy of the Special Category approval must accompany the submittal.

Departments are cautioned to carefully review transactions that may approach \$250,000.00 so that they are not considered "split" orders and/or orders that may have been delayed to circumvent Department of Finance approval.

Purchase of goods and IT goods and services:

Departments without delegated purchasing authority and for transactions that exceed delegated purchasing authority:

- Complete the form including required approvals and forward to DGS-PD One-Time Acquisitions along with a Std. 66 Purchase Estimate for approval and/or execution of the transaction. The approved form will be returned with a Special NCB #.
- For subsequent purchases in the same category, submit a copy of the approved form along with the Std. 66 as above.

Departments with delegated purchasing authority:

- Complete the form including required approvals and forward to DGS-PD One-Time Acquisitions. The approved form will be returned with a Special NCB #. All transactions completed by departments must be documented with this number.

Contracts for non-IT services:

- Complete the form including required approvals and forward to DGS-PD One-Time Acquisitions. Office of Legal Services (OLS) will review and approve non-IT requests. The approved form will be returned with a Special NCB #. A copy of the approved form must be filed with all contracts and must accompany all contracts that require OLS approval.